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BOX PCT

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY - CHAPTER II

**SUBMISSION OF DRAWINGS**

APPLICANT(S): ARNDT, et al.

ATTORNEY DOCKET NO: P01,0404

INTERNATIONAL APPLICATION NO: PCT/DE00/01508

INTERNATIONAL FILING DATE: 12 MAY 2000

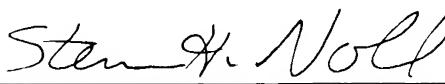
INVENTION: LED ARRANGEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Applicants herewith submit two drawing sheets, showing FIGURES 1, 1A, 2A, 2B, and 2C, in the captioned PCT application.

Respectfully submitted,

  
Steven H. Noll (Reg. No. 28,982)

SCHIFF HARDIN & WAITE  
Patent Department  
6600 Sears Tower  
233 South Wacker Drive  
Chicago, IL 60606  
Telephone: (312) 258-5790  
Attorneys for Applicant(s)

Customer Number: 26574

Rec'd PCT/PTO 26 MAR 2002 #5  
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U.S. APPLICATION NO. (known see 37 C.F.R. 1.5) 10/009,656	INTERNATIONAL APPLICATION NO PCT/DE00/01508	ATTORNEY'S DOCKET NUMBER P01,0404
17. <input checked="" type="checkbox"/> The following fees are submitted:		CALCULATIONS
<b>BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):</b> Search Report has been prepared by the EPO or JPO \$890.00  International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) \$710.00  No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) \$740.00  Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO \$1040.00  International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$100.00		PTO USE ONLY
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>		\$
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e))		\$ 130.00
Claims	Number Filed	Number Extra
Total Claims	17	- 20 = 0
Independent Claims	01	- 3 = 0
Multiple Dependent Claims		\$280.00 + \$
<b>TOTAL OF ABOVE CALCULATIONS =</b>		\$
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed (Note 37 C.F.R. 1.9, 1.27, 1.28)		\$
<b>SUBTOTAL =</b>		\$ 130.00
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +		\$
<b>TOTAL NATIONAL FEE =</b>		\$
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property +		\$
<b>TOTAL FEES ENCLOSED =</b>		\$ 130.00
03/29/2002 MALI11 00000040 10009656 01 FC:154 130.00 DP		Amount to be refunded
		charged \$
a. <input checked="" type="checkbox"/> A check in the amount of <u>\$130.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-1519</u> . A duplicate copy of this sheet is enclosed. NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.		
<b>SEND ALL CORRESPONDENCE TO:</b> <b>SCHIFF HARDIN &amp; WAITE</b> <b>PATENT DEPARTMENT</b> <b>6600 Sears Tower</b> <b>233 South Wacker Drive</b> <b>Chicago, Illinois 60606-6473</b>		
Signature <u>Mark Bergner</u> Attorney for Applicants Registration No. 45,877 Dated: March 26, 2002		
CUSTOMER NUMBER 26574		

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C. B. u. +

10/000656  
JULY 10 2000

FORM PTO-1390 US DEPARTMENT OF COMMERCE REV. 5-93PATENT AND TRADEMARK OFFICE		ATTORNEYS DOCKET NUMBER <b>P01,0404</b>
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/009,656</b>
INTERNATIONAL APPLICATION NO. <b>PCT/DE00/01508</b>	INTERNATIONAL FILING DATE <b>12 MAY 2000</b>	PRIORITY DATE CLAIMED <b>12 MAY 1999</b>
TITLE OF INVENTION <b>LED ARRANGEMENT</b>		
APPLICANT(S) FOR DO/EO/US <b>Karlheinz ARNDT, et al.</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay. 4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input type="checkbox"/> A copy of International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</p> <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)) a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>		
<b>Items 11. to 16. below concern other document(s) or information included:</b>		
11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; ( <b>PTO 1449, Prior Art, Search Report, References</b> ).		
12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. <b>(SEE ATTACHED ENVELOPE)</b>		
13. <input type="checkbox"/> Preliminary Amendment <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.		
14. <input type="checkbox"/> A substitute specification and substitute specification mark-up.		
15. <input type="checkbox"/> A change of address letter attached to the Declaration.		
16. <input checked="" type="checkbox"/> Other items or information: a. <input checked="" type="checkbox"/> Copy of Notification of Missing Requirements (2 sheets) b. <input checked="" type="checkbox"/> EXPRESS MAIL #EL 843746131 US dated March 26, 2002		

FORM PTO-1390 US DEPARTMENT OF COMMERCE  
REV. 5-93PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEYS DOCKET NUMBER  
**P01,0404**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)  
**10/009,656**

INTERNATIONAL APPLICATION NO.  
**PCT/DE00/01508**

INTERNATIONAL FILING DATE  
**12 MAY 2000**

PRIORITY DATE CLAIMED  
**12 MAY 1999**

TITLE OF INVENTION

**LED ARRANGEMENT**

APPLICANT(S) FOR DO/EO/US

**Karlheinz ARNDT, et al.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1.  This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2.  This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3.  This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4.  A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5.  A copy of International Application as filed (35 U.S.C. 371(c)(2)).
  - a.  is transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  has been transmitted by the International Bureau.
  - c.  is not required, as the application was filed in the United States Receiving Office (RO/US)
6.  A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7.  Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
  - a.  are transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  have been transmitted by the International Bureau.
  - c.  have not been made; however, the time limit for making such amendments has NOT expired.
  - d.  have not been made and will not be made.
8.  A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9.  An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10.  A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11.  An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (**PTO 1449, Prior Art, Search Report, References**).
12.  An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.  
**(SEE ATTACHED ENVELOPE)**
13.  Preliminary Amendment  
 A **SECOND** or **SUBSEQUENT** preliminary amendment.
14.  A substitute specification and substitute specification mark-up.
15.  A change of address letter attached to the Declaration.
16.  Other items or information:
  - a.  Copy of Notification of Missing Requirements (2 sheets)
  - b.  EXPRESS MAIL #EL 843746131 US dated March 26, 2002



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box 9-1  
 United States Patent and Trademark Office  
 Washington, DC 20591-0001  
 www.uspto.gov

U.S. APPLICATION NUMBER NO	FIRST NAMED APPLICANT	ATTY DOCKET NO
10/009,656	Arndt Karlheinz	P01,0404
<b>RECEIVED</b>		INTERNATIONAL APPLICATION NO
FEB 26 2002		PCT/DE00/01508
HEWM LLP - P.A.		IA FILING DATE      PRIORITY DATE
		05/12/2000      05/12/1999
<b>CONFIRMATION NO. 8441</b>		
<b>371 FORMALITIES LETTER</b>		
 *OC00000007459401*		

Date Mailed: 02/12/2002

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- English Translation of the IA
- Information Disclosure Statements
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination
- Substitute Specification

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE**

OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice MUST be returned with the response.*

CHARITTA A BURT

Telephone: (703) 305-3734

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO	INTERNATIONAL APPLICATION NO	ATTY DOCKET NO
10/009,656	PCT/DE00/01508	P01,0404

FORM PCT/DO/EO/905 (371 Formalities Notice)

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

**Express Mail Mailing Label Number EL 843746131 US**

**Date of Deposit: March 26, 2002**

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT  
Assistant Commissioner for Patents  
Washington DC 20231**

**Case Number: P01,0404  
Applicant(s): Karlheinz Arndt, et al.**

**International Application No. PCT/DE00/01508  
International Filing Date 12 May 2000  
Priority Date Claimed 12 May 1999**

**Title: LED ARRANGEMENT**

**U.S. SERIAL NO. 10/009,656**

**Enclosed are the following documents:**

**EXECUTED Declaration;  
Copy of Notice to File Missing Requirements;**

**PTO 1390 in duplicate;**

**Fee: \$130.00  
Postcard.**

**Executed Assignment attached in separate envelope;  
Form PTO 1595, Fee: \$40.00**

  
**Signature of person mailing documents and fees**